

**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: Murray L. Finebaum, Bradley Levie, and Trevor Murphy

Application No./Patent No.: 10/001921 Filed/Issue Date: November 15, 2001

Entitled: METHOD AND APPARATUS FOR TRADING BONDS

MarketAxxess Holdings, Inc., a Corporation  
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or  
2. ☐ an assignee of less than the entire right, title and interest.  
(The extent (by percentage) of its ownership interest is \_\_\_\_\_ %)  
in the patent application/patent identified above by virtue of either:

- A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

1. From: Murray L. Finebaum et al. To: Market Axxess Inc.  
The document was recorded in the United States Patent and Trademark Office at Reel 012807, Frame 0624, or for which a copy thereof is attached.  
2. From: Market Axxess Inc. To: MarketAxxess Holdings Inc.  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.  
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☒ As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned whose title is supplied below is authorized to act on behalf of the assignee.

Charles R. Hood, Esq.  
Signature  
Charles R. Hood, Esq.  
Printed or Typed Name  
General Counsel  
Title

10/15/08  
Date  
212-813-6053  
Telephone Number

# Delaware

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*The First State*

I, HARRIET SMITH WINDSOR, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE CERTIFICATE OF AMENDMENT OF "MARKET AXESS INC.", CHANGING ITS NAME FROM "MARKET AXESS INC." TO "MARKETAXESS HOLDINGS INC.", FILED IN THIS OFFICE ON THE TWENTY-EIGHTH DAY OF FEBRUARY, A.D. 2002, AT 9 O'CLOCK A.M.

A FILED COPY OF THIS CERTIFICATE HAS BEEN FORWARDED TO THE NEW CASTLE COUNTY RECORDER OF DEEDS.



*Harriet Smith Windsor*  
Harriet Smith Windsor, Secretary of State

3160376 8100

AUTHENTICATION: 1638382

020136619

DATE: 02-28-02

**CERTIFICATE OF AMENDMENT OF  
FIFTH AMENDED AND RESTATED CERTIFICATE OF INCORPORATION  
OF  
MARKET AXESS INC.**

(Pursuant to Section 228 and 242 of the  
General Corporation Law of the State of Delaware)

Market Axess Inc. (the "Corporation"), a corporation organized and existing under the General Corporation Law of the State of Delaware (the "General Corporation Law"),

**DOES HEREBY CERTIFY:**

**FIRST:** That the Corporation was originally incorporated in Delaware under the name Market Axess Inc., and the date of its filing of its original Certificate of Incorporation with the Secretary of State of the State of Delaware was April 11, 2000. The Certificate of Incorporation has previously been amended and restated on June 19, 2000, August 17, 2000, September 8, 2000, January 31, 2001 and June 28, 2001.

**SECOND:** That the Board of Directors of the Corporation duly adopted resolutions proposing to amend the Fifth Amended and Restated Certificate of Incorporation of the Corporation, and that thereafter, pursuant to such resolutions of the Board of Directors of the Corporation, a consent of stockholders in lieu of meeting was signed by the holders of outstanding stock having not less than the minimum number of votes that would be necessary to authorize or take such action at a meeting at which all shares entitled to vote thereon would have been present and voted.

**THIRD:** That said amendment was duly adopted in accordance with the provisions of Sections 228 and 242 of the General Corporation Law of the State of Delaware.

**FOURTH:** ARTICLE I of the Certificate of Incorporation of the Corporation, relating to the corporate title of the Corporation, is hereby amended to read, in its entirety, as follows:

The name of the corporation is MarketAxess Holdings Inc.

**FIFTH:** Paragraph (B)4(d)(1)(D) of the Certificate of Incorporation of the Corporation is hereby amended to (A) delete the word "and" at the end of subparagraph (viii) thereof, (B) add the word "and" at the end of subparagraph (ix) thereof and (C) add a new subparagraph (x) as follows:

(x) pursuant to contracts approved by the Board of Directors of the Corporation in an amount not to exceed 50,000 shares of Common Stock to any one person or an aggregate of 1% of the outstanding capital stock of the Company.

SIXTH: The foregoing amendment has been duly adopted by the Board of Directors of the Corporation in accordance with the applicable provisions of Section 242 of the General Corporation Law of the State of Delaware.

SEVENTH: The foregoing amendment and restatement was approved by the holders of the requisite number of shares of the Corporation in accordance with Section 228 of the General Corporation Law of the State of Delaware.

IN WITNESS WHEREOF, the undersigned has executed this Certificate of Amendment on this 28<sup>th</sup> day of February, 2002.

MARKET AXESS INC.

By: /s/Richard McVey  
Richard McVey  
Chief Executive Officer